

State of Nevada DETR: Unemployment Insurance

Version Date: 10/16/2013

2005068 Adjudication Investigation Files

Description: This records series documents the investigations made into eligibility for unemployed workers claims. The files may contain: copy of initial claim, monetary determination/redetermination, notice of appeal and supporting documents, wage protest and supporting documents, medical statements, related correspondence and other supportive documentation.

Retention: Retain for a period of four (4) calendar years from the date of the last action in the file.

Disposition: Destroy Securely

1991335 Applicant / Registration Forms

Description: This record series consists of the Nevada Unemployment Compensation Service Registration for (NUC 40-57) used by prospective employers to register with the Employment Security Department. This form is to be completed by prospective employers employing one or more persons in Nevada, or if they have acquired the ownership of a business or operation in which there have been employees. This form must be filed if there has been any change in the type of business organization. The form includes: business name (DBA), corporation name, address, work location, telephone number, type of organization, name of owner(s), business activity and other relevant information.

Retention: Retain for a period of four (4) calendar years from the end of the calendar year to which they pertain. (See NRS 612.260)

Disposition: Destroy Securely

1991337 Audits of Employers Accounts

Description: This record series consists of audits of employers accounts done by the Employment Security Department. The files may contain: workpapers, receipts of money collected, delinquent reports, correspondence, and other relevant material that the auditor may have found.

Retention: Retain for a period of three (3) fiscal years from the end of the fiscal year to which they pertain.

Disposition: Destroy Securely

2002144 BAM (Benefit Accuracy Measurement) Investigation Case Files

Description: This record series is used to document the investigations the Unemployment Insurance, Quality Control - BAM section, does to fulfill Federal requirements found in 42 USC 503 (a) (1) (Section 303 (a)(1) of the "Social Security Act"), 20 CFR 602.21, 20 CFR 617 Appendix B section 6013, 20 CFR Part 640, 26 USC s.3301 et. Seq. (the "Federal Unemployment Tax Act") and Federal Department of Labor (DOL) requirements found in "ET Handbook No. 395 - 3rd Edition" [ET means the Employment and Training Administration of DOL] to determine the accuracy of benefits payments to clients. The state employment security agency (SESA) reports BAM statistics on a routine basis to the regional UI (Unemployment Insurance) Office of the Federal DOL. According to the ET Handbook Chapter VII, the BAM investigative case files must contain claimant questionnaire, copy of key week certification, disqualifying ineligibility ruling, copy of claimant identification (drivers license & SSN), authorization to release information (if needed), signed statement of fact-finding issue, work search verification (employer, labor organization & private employment agency), employment/ wages/ earnings verification forms, disqualifying income verification, verification of dependents, monetary determination/ redetermination, nonmonetary determination/ redetermination, key week error summary worksheet, overpayments/ underpayment actions, appeals decisions and summary of investigation. Nevada BAM files may also include: ESD coding sheet, BAM Activity Log, various computer printouts, Fact finding statements, copies of job descriptions, related correspondence & notes and similar documents.

Retention: Retain these records for four (4) calendar years after the end of the calendar year in which the investigation was closed.

Disposition: Destroy Securely

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1995053 Benefit Payment Control Files

Description: These are claimant files for overpayments established which have been paid off by the claimant, or written off by the agency. There will also be prosecution files which have cleared the court system, and records of judgments which have been satisfied or not renewed.

Retention: Retain for a period of four (4) calendar years from the end of the calendar year to which they pertain.

Disposition: Destroy Securely

2005069 Board of Review Appeals

Description: This records series documents the appeal process of claimants to the Board of Review (See NRS 612.515 and NAC 612.242 to 612.265). The files may contain: copy of initial claim, monetary determination and/or redetermination, notice of appeal to Appeal Referee with supporting documents, copy of appeal referee decision, Board of Review Hearing documentation (Notice of Hearing, Request for Review, Board Decision, etc.), transcriptions of hearings (see NRS 612.500), policy statements, related correspondence and similar documentation.

Retention: Retain for a period of four (4) calendar years from the date of the last action in the file.

Disposition: Destroy Securely

2005070 Board of Review Appeals: Audio/visual Recordings of Hearings

Description: This records series consists of audio/visual recordings made during the hearings before the Board of Review (See NRS 612.515 and NAC 612.242 to 612.265).

Retention: Retain recordings for a period of six (6) months from the date of the Hearing. Note: this is a valid exception to the General Records Retention and Disposition Schedules since the Board of Review is exempt from the Open Meeting Law (NRS Chapter 241).

Disposition: Destroy Securely

1995043 Claim Cards

Description: Cards furnished to claimants. These are filled out and mailed in weekly to certify another week of eligibility for unemployment compensation. This is required in order to issue a warrant for that week. Cards are grouped into batches and filed by batch number within date.

Retention: Retain for a period of four (4) calendar years from the end of the calendar year to which they pertain. (See NRS 612.260)

Disposition: Destroy Securely

1995041 Claimants' Jackets

Description: This records series contains all Unemployment Insurance records pertaining to claimants filing for Unemployment Insurance Benefits. May contain: copy of initial claim, monetary determination/redetermination, notice of appeal and supporting documents, wage protest and supporting documents, medical statement(s), copy of appeal decision, correspondence, and any other related documentation. These records provide a history of all activity for each claimant within the retention period.

Retention: Retain for a period of four (4) calendar years from the end of the calendar year to which they pertain. (See NRS 612.260)

Disposition: Destroy Securely

1995051 Claims Payment Records

Description: This record series documents the payment of claims for unemployment insurance. Contains: Form #NUCS 4545 - Transmittal of continued claims over 4 weeks old from local offices, Form #BT06 - Record of cancellation of warrant (who and why), #BC04 - Records released from ADABAS computer file (files held for payment).

Retention: Retain for a period of four (4) calendar years from the date on which the draft was paid or cancelled.

Disposition: Destroy Securely

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1991350 Employers Jackets

Description: This record series contains information on employers concerning legal matters in the State of Nevada. The files may contain: letter of transmittal to Bankruptcy Court, pending correspondence, bankruptcy paperwork, reorganization papers, appeals, obstructed claims documents and other relevant material.

Retention: Retain for a period of six (6) calendar years from the close of the case (Notice of Entry or Renewal of Judgment).

Disposition: Destroy Securely

1991336 Employers Quarterly Contributions and Wage Report

Description: This record series consists of Employer's Quarterly Contribution and Wage Report (NUCS 4072) used by the employer and the department to report contributions made. This form is to be filled out by the employer in accordance with such regulations as the executive director may prescribe. The form includes: change of name and address (if applicable), federal i.d. #, total wages paid this quarter, amount due, prior credit, charges (if any apply), interest on past due contributions, employees name, social security number, total tips and wages reported for the quarter, and other relevant information.

Retention: Retain for a period of four (4) calendar years from the end of the calendar year to which they pertain. (See, NRS 612.260)

Disposition: Destroy Securely

1995045 Incoming Combined Wage Claims

Description: This record series is used in the transfer of wage information from other states concerning claimants in Nevada that were previously living and working in other states. Used to establish Nevada unemployment insurance claims. Contains forms IB-4 Request for Transfer of Wages and IB-5 Report of Determination of Combined Wage Claims. Filed by last four digits of SSN within Quarter.

Retention: Retain for a period of four (4) calendar years from the end of the calendar year to which they pertain. (See NRS 612.260)

Disposition: Destroy Securely

1995050 Initial Claims

Description: Form #NUCS 4188 'Notice of Claim Filing.' These are used to establish a claim for unemployment insurance benefits. Filed daily by SSN.

Retention: Retain for a period of four (4) calendar years from the date submitted.

Disposition: Destroy Securely

1995047 Interstate Liable

Description: Form #IB-2. These are received bi-weekly from claimants residing out-of-state to certify that they are still unemployed and eligible to receive benefits. Filed by batch within date.

Retention: Retain for a period of four (4) calendar years from the end of the calendar year to which they pertain.

Disposition: Destroy Securely

1991338 Judgments and Satisfactions

Description: This record series consists of Judgments made by the Employment Security Department against employers who have defaulted in payment of contributions, interest or forfeit due. The files may contain: copies of the judgment, demand letter, affidavit of mailing, paperwork including the court seal, correspondence, copy of satisfaction (if applicable) and other relevant information.

Retention: Retain for a period of six (6) calendar years from the close of the case (Notice of Entry of Judgment or Renewal of Judgment).

Disposition: Destroy Securely

1995054 Judgments, Satisfactions & Expirations

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Description: Judgments filed against individuals with fraud overpayments when refunds are not received. This file consists of the original judgment document (showing the court's stamp and the recorder's information), a copy of the Satisfaction or Expiration, a copy of the letter to the individual, and a computer printout of the account.

Retention: Retain for a period of three (3) calendar years from the date a judgment is satisfied or expires.

Disposition: Destroy

1991339 Liens and Releases

Description: This record series consists of liens made by the Employment Security Department against an employer indebted to the Unemployment Compensation Fund and the Claimant Fund of the State of Nevada. The form may contain: the name of owner(s), name of the business, amount due and other relevant information.

Retention: Retain for a period of six (6) calendar years from the close of the case.

Disposition: Destroy Securely

1997038 New Hire Documents

Description: This record series is used to input data into the State Directory of New Hires database as required by Public Law 104-193 (August 22, 1996) and 1997 Statutes of Nevada Chapter 489 (AB 401). The documents may consist of copies of W-4 forms and reports from employers. [This record series was originally scheduled under agency # 360904 which was incorrect]

Retention: Retain for a period of sixty (60) days from the date the information was entered into the State Directory of New Hires database.

Disposition: Destroy Securely

1995046 Notice of Determination or Redetermination

Description: This record series consists of form NUCS 4158. These are adjudication decisions, based on law, concerning claimants' eligibility to Unemployment Insurance.

Retention: Retain for a period of four (4) calendar years from the end of the calendar year to which they pertain. (See NRS 612.260)

Disposition: Destroy Securely

1995044 Outgoing Combined Wage Claims

Description: This record series is used in the transfer of wage information to other states concerning claimants in those states that were previously living and working in Nevada. Used to establish unemployment insurance claims there. Contains forms IB-4 Request for Transfer of Wages and IB-5 Report of Determination of Combined Wage Claims. Filed by state within year.

Retention: Retain for a period of four (4) calendar years from the end of the calendar year to which they pertain. (See NRS 612.260)

Disposition: Destroy Securely

1991341 Payment Agreement / Contract

Description: This record series consists of contracts drawn between the Employment Security Department and employers to make payments of delinquent taxes due. The file may contain: contract, a copy of the judgement, correspondence and other relevant information.

Retention: Retain for a period of six (6) calendar years from the close of the case. (Notice of Entry or Renewal of Judgement)

Disposition: Destroy Securely

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1991340 Proof of Claim

Description: This record series consists of the United States Bankruptcy Court "Proof of Claim" form. It is filled out by the employer for protection by the court, but is used to collect taxes. The form may contain: name of debtor, bankruptcy case #, creditor information, letter of transmittal to the court, claim information and other relevant information.

Retention: Retain for a period of six (6) calendar years from the close of the case.

Disposition: Destroy Securely

1995042 Referee & Appeals Decisions (Copies)

Description: These are copies of the Agency's internal appellate process decisions. This is a single document copy of each decision provided by the Appeals Office. Filed by decision number.

Retention: Retain this duplicate document only as long as useful to the agency.

Disposition: Destroy Securely

2009018 Rulings Files

Description: These records are used to charge or relieve the employer of a charge for unemployment compensation (See NRS 612.551). The record may include but is not limited to: Notice of Ruling form with associated documentation, Notification to employer of unemployment insurance claim, Request for additional information, Supportive documentation, Related correspondence.

Retention: Retain these records for a period of four (4) calendar years from the close of the case.

Disposition: Destroy Securely

1997039 State Directory of New Hires Database

Description: This database contains information required by Public Law 104-193 (1996) section 313 (amending 42 USC section 453A (b)(1)). The information includes "...the name, address and social security number of the employee..." as well as the name, address and identifying number of the employer. This information is received from the employer. [Note: this was originally scheduled under agency # 360904 which was incorrect]

Retention: Retain this database intact until submission to the Welfare Division, then the information on the database may be modified or discarded as needed. Upon termination of the requirements of PL 104-193 (1996), retain the information for a period of three (3) calendar years (preferably on tape format).

Disposition: Destroy Securely

1997041 State Directory of New Hires Quarterly Reports

Description: This record series contains copies of the reports submitted to the National Directory of New Hires containing information on wages and unemployment compensation, and other data, as required by PL 104-193 (1996) section 313 (amending 42 USC s.453 (g)(2)(B), 110 Statutes 2211).

Retention: Retain this record series for a period of three (3) calendar years from the end of the quarter in which the report was submitted to the federal government.

Disposition: Destroy Securely

2005060 TRA/NAFTA Files (Trade Readjustment Allowances / North American Free Trade Agreement)

Description: This record series documents the claims for unemployment benefits submitted to DETR in accordance with the Trade Act of 1974 (19 U.S.C. §§ 2101 et seq. "Trade Act of 1974, Amended") concerning the Transitional Adjustment Assistance / Trade Readjustment Allowances (See 19 U.S.C. § 2291 to 2298 and 20 CFR Part 617 for Trade Readjustment Allowances and 19 U.S.C. § 2331 for NAFTA Transitional Adjustment Assistance Program, which was repealed in 2002). The files may contain: Request for Determination of Entitlement to TAA/TRA, Request for Employment Information, Training Request Determination (TRA waiver), Entitlement Determination to Trade Readjustment Allowance, TRA/NAFTA Payment Ledger (with associated accounting documents), TRA/NAFTA Computation Worksheet, Weekly Request for Allowances by Workers on Waiver (Trade Act of 1974), NAFTA/TRA Claimant Invoices, accounting documentation, Unemployment Insurance Service work papers (including Notice of Eligibility, Fact Finding Eligibility Requirements), related correspondence and similar documentation.

Retention: Retain for a period of four (4) calendar years from the end of the calendar year to which they pertain.

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1995052 UCX and UCFE

Description: Contains records that determine claimant eligibility for former members of the military or former federal employees. UCX (ex-military) files will include these forms: ETA 841, DD 214, MA 8-43, MUCS-4002. UCFE (former federal employees) files include forms ES 931, ES 934 and ES 935. These are requests for and verification of wages for federal employees.

Retention: Retain for a period of four (4) calendar years from the end of the calendar year to which they pertain.

Disposition: Destroy Securely

1995049 Warrants

Description: This record series consists of Unemployment Insurance benefit checks paid, cancelled, and stale-dated.

Retention: Retain for a period of four (4) calendar years from the date of issue.

Disposition: Destroy Securely